



Patent Application Serial No.  
Attorney Docket No. SG-20554  
Information Disclosure Statement  
Page 1 of 6

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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: William F. Behm et al

Serial Number: 09/723,772

Filed: November 28, 2000

For: LOTTERY TICKET VALIDATION SYSTEM

Group Art Unit:

Examiner

Honorable Commissioner of Patents  
and Trademarks  
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## Information Disclosure Statement Under 37 CFR § 1.97(a)

Sir:

The following is intended to comply with the provisions of 37 C.F.R. § 1.56 concerning the duty of disclosure, and 37 C.F.R. §§ 1.97 through 1.98 concerning the filing and content of an Information Disclosure Statement. This statement is being filed before the mailing of a first Office Action on the merits, in accordance with 37 CFR § 1.97(b)(a). No fee or statement is needed for this filing.

## PROSECUTION HISTORY

The present application is a continuation-in-part of Behm et al., Lottery Ticket Structure, U.S. Serial No. 09/455,564, filed December 6, 1999, which is a continuation-in-part of Behm et al., Document Structure with Circuit Elements, U.S. Serial No. 08/794,120,

filed February 3, 1997 and issued December 7, 1999 as U.S. Patent No. 5,997,044, which was a continuation-in-part of Behm et al., Lottery Ticket Structure with Circuit Elements, U.S. Serial No. 08/263,888, filed June 22, 1994 and issued February 4, 1997 as U.S. Patent No. 5,599,046.

**RELATED CO-PENDING APPLICATIONS**

Applicants wish to advise the Examiner of the following related co-pending

*Not  
Considered  
C/A  
12  
may* applications: Behm et al., LOTTERY TICKET STRUCTURE, U.S. Serial No. 09/455,564, filed December 6, 1999; Irwin, Jr. et al., ELECTRONIC VERIFICATION MACHINE FOR DOCUMENTS, U.S. Serial No. 09/410,839, filed October 10, 1999; and Irwin, Jr. et al., ELECTRONIC VERIFICATION MACHINE FOR DOCUMENTS, U.S. Serial No. 09/557,337, filed April 24, 2000.

It is respectfully requested that each of the references listed below and in the accompanying Form PTO-1449 be considered during the prosecution of this application. A copy of each of the references is enclosed.

**U.S. Patent Documents**

1. Hennis et al., U.S. Patent No. 3,089,123, issued 5/7/63
2. Nugent, U.S. Patent No. 3,245,697, issued 4/12/66
3. Vogelman et al., U.S. Patent No. 3,736,368, issued 5/29/73
4. Chavez, U.S. Patent No. 3,868,057, issued 2/25/75
5. Bliss, U.S. Patent No. 3,876,865, issued 4/8/75
6. Miller et al., U.S. Patent No. 3,918,174, issued 11/11/75
7. Orloff, U.S. Patent No. 3,922,529, issued 11/25/75
8. Maymarev, U.S. Patent No. 3,934,120, issued 1/20/76
9. Cuttill et al., U.S. Patent No. 4,017,834, issued 4/12/77
10. Dethloff, U.S. Patent No. 4,105,156, issued 8/8/78

11. Matkan, U.S. Patent No. 4,176,406, issued 11/27/79
12. Nishimura, U.S. Patent No. 4,195,772, issued 4/1/80
13. Mazumder, U.S. Patent No. 4,243,216, issued 1/6/1981
14. Weitzen et al., U.S. Patent No. 4,313,087, issued 1/26/82
15. Weber, U.S. Patent No. 4,355,300, issued 10/11/82
16. Weitzen et al., U.S. Patent No. 4,455,039, 6/19/84
17. Freund et al., U.S. Patent No. 4,544,184, issued 10/1/85
18. Long et al., U.S. Patent No. 4,579,371, issued 4/1/86
19. Holmen et al., U.S. Patent No. 4,591,189, issued 5/27/86
20. Solitt et al., U.S. Patent No. 4,669,729, issued 6/2/87
21. Dvorzsak, U.S. Patent No. 4,736,109, issued 4/5/88
22. Keane et al., U.S. Patent No. 4,760,247, issued 7/26/88
23. Schneider, U.S. Patent No. 4,763,927, issued 8/16/88
24. Chen, U.S. Patent No. 4,792,667, issued 12/20/88
25. Black et al., U.S. Patent No. 4,835,624, issued 5/30/89
26. Niepolomski et al., U.S. Patent No. 4,870,260, issued 9/26/89
27. Donahue, U.S. Patent No. 4,880,964, issued 11/14/89
28. Kamille, U.S. Patent No. 4,964,642, issued 10/23/90
29. Comerford et al., U.S. Patent No. 5,032,708, issued 7/16/91
30. Kamille, U.S. Patent No. 5,092,598, issued 3/3/92
31. Kamille, U.S. Patent No. 5,094,458, issued 3/10/92
32. Johnsen et al., U.S. Patent No. 5,109,153, issued 4/28/92
33. Koza et al., U.S. Patent No. 5,112,050, issued 5/12/92
34. Gumina, U.S. Patent No. 5,118,109, issued 6/2/92
35. Borowski, Jr. et al., U.S. Patent No. 5,193,854, issued 3/16/93
36. Carrick et al., U.S. Patent No. 5,228,692, issued 7/20/93
37. Heninger et al., U.S. Patent No. 5,234,798, issued 8/10/93
38. Crane, U.S. Patent No. 5,308,992, issued 5/3/94
39. Finocchio, U.S. Patent No. 5,317,135, issued 5/31/94

40. Behm et al., U.S. Patent No. 5,346,258, issued 9/13/94
41. Borowski, Jr. et al., U.S. Patent No. 5,403,039, issued 4/4/95
42. Hoshino et al., U.S. Patent No. 5,451,759, issued 9/19/95
43. Hanada, U.S. Patent No. 5,453,602, issued 9/26/95
44. Irwin, Jr. et al., U.S. Patent No. 5,471,039, issued 11/28/95
45. May, U.S. Patent No. 5,471,040, issued 11/28/95
46. Behm et al., U.S. Patent No. 5,475,205, issued 12/12/95
47. Leichner et al., U.S. Patent No. 5,528,154, issued 6/18/96
48. Behm et al., U.S. Patent No. 5,599,046, issued 2/4/97
49. Hoshino et al., U.S. Patent No. 5,602,381, issued 2/11/97
50. Irwin, Jr. et al., U.S. Patent No. 5,621,200, issued 4/15/97
51. Beaty, U.S. Patent No. 5,682,819, issued 11/4/97
52. Luciano, U.S. Patent No. 5,690,366, issued 11/25/97
53. Desbiens, U.S. Patent No. 5,704,647, issued 1/6/98
54. Hoshino et al., U.S. Patent No. 5,756,220, issued 5/26/98
55. Deshiens et al., U.S. Patent No. 5,803,504, issued 9/8/98
56. Irwin, Jr. et al., U.S. Patent No. 5,818,019, issued 10/6/98
57. Katz, U.S. Patent No. 5,835,576, issued 11/10/98
58. Sultan, U.S. Patent No. 5,887,906, issued 3/30/99
59. Lawandy et al., U.S. Patent No. 5,903,340, issued 5/11/99
60. Stoken et al., U.S. Patent No. 5,915,588, issued 6/29/99
61. Behm et al., U.S. Patent No. 5,997,044, issued 12/7/99
62. Irwin, Jr. et al., U.S. Patent No. 6,053,405, issued 4/25/00
63. Gatto et al., U.S. Patent No. 6,107,913, issued 4/22/00
64. Dueker et al., U.S. Patent No. 6,155,491, issued 12/5/00

**Foreign Patents**

65. Swiss Patent No. CH 598 964, Published 12/5/78

This document appears to disclose a lottery ticket that has sixteen numbers arranged at random in four rows of four, from which the player has to select the winning numbers. A separate set of the winning numbers is printed on the ticket and concealed by a covering strip. The covering strip is made from a mixture of printers' ink, rubber solution, and a binder. The composition of the covering strip ensures that it cannot be replaced over the set of winning numbers as the covering strip can only be removed by scraping or rubbing so that it is destroyed as it is removed. An English translation of this Abstract is attached to the document.

66. EPO Patent Document, No. 0 097 570 A2, published 1/4/84

This document appears to disclose a device for verifying the thickness of dielectric materials on paper. The material to be measured passes through the armatures of a series of condensers (or the plates of a series of capacitors), each condenser being connected to a generator and a load resistor. The voltage to the boundary of the resistors is measured by a multiplexer and, after numerical conversion, applied to a microprocessor that investigates in synchronism a memory confined from reference signals, and provides through correlation a signal concerning the result of the verification. The device has application in verifying the authenticity of bank notes.

This patent document, EP 0 097 570 A2, was cited by the European Patent Office during the examination of a patent application, EP 96 91 6790, which was a convention foreign filing for U.S. Patent Application Serial No. 08/486,588, now U.S. Patent No. 5,621,200. U.S. Patent No 5,621,200 is related to the present lineage of patent applications as it concerns an apparatus for determining the authenticity and integrity of printed materials on a paper substrate, such as a lottery ticket. The EPO Search result, a



copy of which is enclosed, indicates that this patent document, EP 0 097 570 A2, is relevant to the technical background.

67. WIPO, PCT International Application No. PCT/US98/06718, International Publication No. WO 98/48382, published 10/29/98

68. WIPO, PCT International Application, No. PCT/US99/11929, International Publication No. WO 99/62019, published 12/2/99

69. WIPO, PCT International Application. No. PCT/US99/12640, International Publication No. WO 99/65002, published 12/16/99

This is the only copy of this document available to Applicants at this time.

Respectfully submitted,

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Reg. No. 36, 909

Dated: *August 14, 2001*

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